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PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO  
(Modified by BSTZ 6/30/99)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/503,960
Filing Date	February 14, 2000
First Named Inventor	Ratterman, et al.
Group Art Unit	2766
Examiner Name	Not Yet Assigned
Attorney Docket Number	003801.P002

Sheet 1 of 7

## U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
RMB	3,581,072	Nymayer	5/25/1971	3/28/1968
	3,573,747	Adams, et al.	4/6/1971	2/24/1969
	4,412,287	Braddock, III	10/25/1983	9/15/1982
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	4,677,552	Sibley, Jr.	6/30/1987	10/5/1984
	4,789,928	Fujisaki	12/6/1988	1/30/1987
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	4,823,265	Nelson	4/18/1989	5/11/1987
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RMB	PCT WO 92/15174 2/25/1992	Beaumont-Maxin International	9/3/1992	
RMB	PCT WO 96/34356 4/26/1996	Fleanet, Inc.	10/31/1996	
RMB	PCT WO 97/37315 3/19/1997	Onsale, Inc.	10/9/1997	

## OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
RMB	MALONE, TW; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6, USA	
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	"Personal Optimized Decision/Transaction Program", <u>IBM Technocal Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1, USA	
	NEO, BS, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1, No. 5	

Examiner Signature	Rebecca M. Bachner	Date Considered	5-6-02
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First Named Inventor	Ratterman, et al.
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Sheet 2 of 7

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	Number				
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	Office or Country	Number	Date			
RMB	Netherland	9300266	2.10.1993			
1	France	2658635-A1	2.6.1991			
1	Canada	2,253,543	3/19/1997			Yes

## OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
RMB	ROCKOFF, TE; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol 5, No. 4, Pages 10-16	
1	MASSIMB, MN; PHELPS, BD, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50, Charlottesville, Virginia	
1	POST, DL; COPPINGER, SS, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10, No. 3	
1	HESS, CM; KEMERER, CF., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274	

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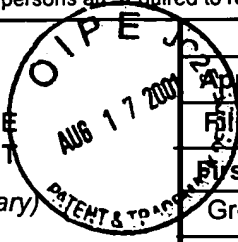
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STATEMENT BY APPLICANT**

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Application Number 09/503,960  
Filing Date February 14, 2000  
First Named Inventor Ratterman et al.  
Group Art Unit 2766  
Examiner Name Not Yet Assigned  
Attorney Docket Number 003801.P002

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Sheet 3 of 7

**U.S. PATENT DOCUMENTS**

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
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RMB	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21, Elsevier Science Publishing Co., Inc. New York, Ny.	
	"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technocal Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3	
	LEE, G., "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV	
	CLEMINS, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12	

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Date Considered

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Filing Date		February 14, 2000	
First Named Inventor		Ratterman et al	
Group Art Unit		2766	
Examiner Name		Not Yet Assigned	
Attorney Docket Number		003801.P002	

## U.S. PATENT DOCUMENTS

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RMB	5,835,896	Fisher, et al.	11/10/1998	3/29/1996
RMB	5,845,266	Lupien, et al.	12/1/1998	12/12/1995
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## FOREIGN PATENT DOCUMENTS

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## OTHER DOCUMENTS

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RMB	MARDESICH, J., "Onsale Takes Auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32, Mountain View, California.	
	"Onsale joins fray as online shopping picks up speed: Internet Booms", <u>Computer Reseller News</u> , June 5, 1995, Page 73, CMP Publications, Inc., USA.	
	SIEGMANN, KEN, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42, Ziff-Davis Publishing Company	
	"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, Pages 3	

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Date Considered

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09/503,960

February 14, 2000

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2766

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RMB	SCHMID, BF., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electric Markets</u> , October 1993, No. 9/10	
/	TJOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", <u>Norwegian Computing Center</u> , No Date Given, Pages 1-10	
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✓	RECK, Martin., "Trasing-Process Characteristics of Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-7	

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5-6-02

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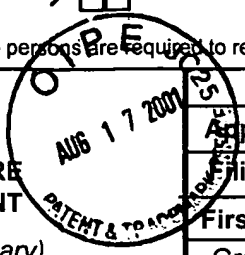
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RMB	VAN HECK, E; RIBBERS, PM., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given, Pages 1-6	
	LEE, HG., "Aucnet: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given, Pages 1-5	
	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-4	
	TURBAN, E., "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given, Pages 1-5	

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RMB	✓	ZWASS, VLADIMIR., "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce</u> , Fall 1996, Pages 3-23, Vol, 1, No. 1	

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RMB	International Search Report, PCT/US01/04811	
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	MEDIAPRAISE. Mediapraise receives national award for web-based technology that enables companies to solve thorny HR problem. Business Editors, Dec. 14, 1998.	
	MEADE, Jim. Visual 360: a performance appraisal system that's fun. HR Magazine, v44, n7, p. 118.	

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RMB	5,922,074	Richard et al.	7/13/99	2/28/97
RMB	6,035,402	Vaeth et al.	3/7/2000	12/20/96
RMB	6,104,815	Alcorn et al.	8/15/2000	1/9/98
RMB	5,760,917	Sheridan	6/2/98	9/16/96

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RMB	PCT	WO 99/63461	5/20/99	Dinwoodie	12/9/99	
RMB	PCT	US99/18510	10/23/98		8/12/99	
RMB	PCT	US00/32088	4/4/2001		11/20/2000	

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RMB	CHRIS PREIST, MARTEN VAN TOL, "International Conference on Information and Computation Economies", Adaptive Agents in a Persistent Shout Double Auction, (c) 1999, Pages 2.	

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Sheet	12	of	2		
<b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			
RMB		Ekstrom, Martin. A RATING SYSTEM FOR AEC e-BIDDING. PhD Dissertation. November 27, 2000 [downloaded from the internet 13.11.2001] from <a href="http://www.stanford.edu/~mekstrom/research/PhDQualifyingDocument.pdf">http://www.stanford.edu/~mekstrom/research/PhDQualifyingDocument.pdf</a> . Pages 13-17, Fig. 2 page 17.			
RMB	✓	Patience, Nick. EPINIONS LAUNCHES ONLINE SHOPPING GUIDE BUILT ON TRUST. Computergram International. 10 Sept. 1999. Pages 1-2.			
RMB	✓	Nielsen, Jacob. REPUTATION MANAGERS ARE HAPPENING. Alertbox., 5 Sept., 1999, ✓			
RMB	✓	Epinions.com, What is the Web of Trust. Epinions.com FAQ sheet. Downloaded 11/13/2001 from the internet URL <a href="http://www.epinions.com/help/faq/?show=faqwot#001">http://www.epinions.com/help/faq/?show=faqwot#001</a> .			

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<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known

Application Number	09/503,960	RECEIVED AUG 21 2001 Technology Center 2100
Filing Date	February 14, 2000	
First Named Inventor	Ratterman et al.	
Group Art Unit	2766	
Examiner Name	Not Yet Assigned	
Attorney Docket Number	003801.P002	
Sheet 1 of 1		

**U.S. PATENT DOCUMENTS**

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
RMB	5,884,056	Steele	3/16/99	12/28/95
	5,598,557	Doner et al.	1/28/97	9/22/92
	5,694,546	Reisman	12/2/97	5/31/94
	5,873,069	Reuhl et al.	2/26/99	10/13/95
	5,890,138	Godin et al.	3/30/99	8/26/96
	5,803,500	Mossberg	9/8/98	3/27/97
	5,799,285	Klingman	8/25/98	8/30/96
	5,715,314	Payne et al.	2/3/98	10/24/94
	5,485,510	Colbert	1/16/96	9/1/94
	5,657,389	Houvener	8/12/97	5/8/95
	5,771,291	Newton et al.	6/23/98	12/11/95
	5,872,848	Romney et al.	2/26/99	2/18/97

**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

**OTHER DOCUMENTS**

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No

Examiner Signature	Rebecca M. Bachman	Date Considered	5-6-02
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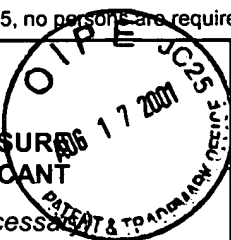
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

Application Number 09/503,960  
Filing Date February 14, 2000  
First Named Inventor Ratterman et al  
Group Art Unit 2766  
Examiner Name Not Yet Assigned  
Attorney Docket Number 003801.P002

Technology Center 2100

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## U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	Number				
RMB	5,205,200		Wright	4/27/93	1/9/92
	5,761,655		Hoffman	6/2/98	3/10/94
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	5,771,380		Tanaka et al.	6/23/98	10/7/96
	5,884,056		Steele	3/16/99	12/28/95

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## OTHER DOCUMENTS

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Rebecca M. Bachner

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